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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/008,269	12/10/2001	Sanjay Deshpande	74622-029	2616
21890	7590	07/09/2007		
PROSKAUER ROSE LLP PATENT DEPARTMENT 1585 BROADWAY NEW YORK, NY 10036-8299			EXAMINER GREIMEL, JOCELYN	
			ART UNIT 3693	PAPER NUMBER
			MAIL DATE 07/09/2007	DELIVERY MODE PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

Office Action Summary	Application No. 10/008,269	Applicant(s) DESHPANDE ET AL.	
	Examiner Jocelyn Greimel	Art Unit 3693	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 11 June 2007.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-34 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-34 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. _____.
 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)
Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

1. A request for continued examination under 37 CFR 1.114, including the fee set forth in 37 CFR 1.17(e), was filed in this application after final rejection. Since this application is eligible for continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e) has been timely paid, the finality of the previous Office action has been withdrawn pursuant to 37 CFR 1.114. Applicant's submission filed on 11 June 2007 has been entered.

Status of Claims

2. Claims 1-34 are currently pending.

Claim Objections

3. Claims 33 and 34 are objected to because of the following informalities: it appears the claims should read: "by the hierarchy of nodes" in the last line and "of" is missing a letter. Appropriate correction is required.

4. Claim 19 appears to be missing a word after "hierarchy of nodes." The claim has been examined as best understood by the Examiner.

Claim Rejections - 35 USC § 102

5. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

6. Claims 1-34 are rejected under 35 U.S.C. 102(b) as being anticipated by Mahoney et al (US Patent No. 5,819,271, hereinafter Mahoney). In reference to claims 1, 31, 32, 33 and 34, Mahoney discloses a method, system and apparatus for providing and displaying data in a communications network, comprising:

- a. providing a content management application that enables a user to define a hierarchy of nodes in a database (col. 4+; *"The corporate information may include or be linked to information in other formats, e.g. spreadsheets accessible by a common spreadsheet program, audio files accessible by a media player, etc.... Corporate information for each corporation is arranged in two frames, namely, an index frame and a contents frame....Corporate information, arranged and navigatable according to the topics listed within the index frame..."*),
- b. the hierarchy of nodes providing a structure for a navigable on-screen display, each node in the hierarchy corresponding to a displayable element of the on-screen display (col. 4+),

- c. one or more of the nodes in the hierarchy receiving and storing content uploaded from different content providers for publication (col. 7-9),
- d. each node that stores content authorizing one or more of the content providers to upload content to that node (col. 8); and
- e. providing a content display application for displaying the uploaded content through the navigable on-screen display arranged according to the structure defined by the hierarchy of nodes (col. 5-6).

The Examiner would like to note that the above system of Mahoney is utilized to provide and display financial data (as in Applicant's preamble) (col. 3; col. 10).

7. In reference to claims 2-30, Mahoney discloses a method, system and apparatus for providing and displaying data in a communications network, comprising:

- a. wherein the on-screen display comprises a composite display having respective regions that are reserved for displaying uploaded content from respective ones of the content providers (col. 3, lines 45-61);
- b. wherein the content management application enables users to be entitled to access content associated with specific ones of the nodes (col. 4, lines 8-28);
- c. wherein the nodes of the hierarchy include a home page node and one or more topic nodes, the one or more topic nodes being children nodes of the home page node (col. 4, lines 20-67);

- d. wherein the content management application enables an administrator to set entitlements for the nodes such that only specified content providers are permitted to upload their content thereto (col. 4, lines 12-67);
- e. wherein the content management application enables users of specified platforms to be entitled to access content associated with specific ones of the nodes (col. 4, lines 12-44; col. 5, lines 1-13, col. 6, lines 25-51);
- f. wherein the content management application enables assignment of the nodes to a status of staging, live and archived (col. 7, lines 20-46);
- g. wherein a new node is initially assigned the staging status prior to being placed into production; a node is assigned the live status when placed into production; and a node is assigned the archived status when removed from production (col. 7, lines 20-46);
- h. wherein the content management application enables the tagging of content by the associated content provider to denote a required entitlement level thereof (col. 4, lines 12-44; col. 5, lines 1-13, col. 6, lines 25-51; col. 12, lines 6-33);
- i. wherein the hierarchy of nodes includes a home page node (col. 4, lines 8-44);
- j. wherein the hierarchy of nodes includes a report display node that enables control of report classifications for classifying the content that is displayed, and where the report classifications are displayed on-screen (col. 4, lines 8-44);

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- k. wherein the hierarchy of nodes includes a report display node that enables control of the content display individually or via a link (col. 4, lines 8-44);
- l. wherein the hierarchy of nodes includes file nodes to which the content may be uploaded (col. 4, lines 8-44; col. 7, lines 11-46);
- m. wherein the hierarchy of nodes includes function nodes comprising financial-services related topics (col. 4, lines 8-44; col. 7, lines 11-46);
- n. wherein the function nodes comprise pre-established templates for use by the content display application; and display locations of the templates may be managed via the content management application (col. 5, lines 1-13);
- o. wherein the hierarchy of nodes includes related link nodes for providing at least one of internal and external links for the associated content (col. 5, lines 13-67; col. 6, lines 1-11);
- p. wherein the content display application controls access to topic nodes based on entitlements thereto (col. 6, lines 24-51);
- q. wherein the hierarchy of nodes includes area nodes for content related to at least one of equities and fixed income financial instruments (col. 10, lines 1-48);
- r. wherein the hierarchy of nodes custom page function nodes for enabling the content providers to create respective customized content pages for display (col. 6, lines 36-51);

- s. wherein the hierarchy of nodes includes a report upload node for defining report classifications to which the content may be uploaded by the content providers (col. 7, lines 20-55);
- t. wherein the content providers are enabled to upload reports to multiple report classifications (col. 7, lines 20-55);
- u. wherein the hierarchy of nodes includes a content edit screen which enables the respective content providers to select files that are uploaded to a spotlight page to feature specific content (col. 4, lines 21-67);
- v. wherein the hierarchy of nodes includes a report management function that allows an administrator to modify meta data associated with uploaded content (col. 6, lines 59-67; col. 7, lines 1-19);
- w. wherein the content management application enables tagging of the uploaded content by the different content providers to indicate a required user entitlement level thereof for viewing the uploaded content through the on-screen display (col. 6, lines 41-58);
- x. wherein the content management application enables uploading of content by the content providers via respective computerized workstations in the communications network (col. 4, lines 20-67);
- y. wherein the uploaded content comprises at least statistics, reports and ratings for a financial instrument (col. 10, lines 1-60);

- z. further comprises providing a search capability via the on-screen display to enable a user to enter a search term, and to perform a search to obtain content in response thereto and specific thereto (col. 5, lines 13-47);
- aa. wherein the search term designates a financial instrument (col. 5, lines 13-47);
- bb. wherein the content obtained via the search is filtered according to an entitlement level of the user (col. 5, lines 13-47);
- cc. wherein the content management application enables the content providers to specify links to uploaded content via the on-screen display (col. 4, lines 21-67).

Conclusion

8. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure:

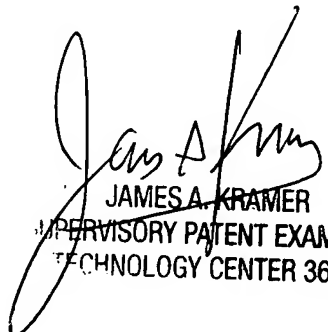
- dd. Devine et al. (US Patent No. 6,631,402 B1).

9. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Jocelyn Greimel whose telephone number is (571) 272-3734. The examiner can normally be reached Monday - Friday 8:30 AM - 4:30 PM EST. If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, James Kramer can be reached at (571) 272-6783. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Jocelyn Greimel
Examiner, Art Unit 3693
June 22, 2007

 6/25/07
JAMES A. KRAMER
SUPERVISORY PATENT EXAMINER
TECHNOLOGY CENTER 3600